



OFFICE OF FINANCE  
REFUND SECTION

DEPT REF Room 307  
PATENT  
Customer Number 22,852  
Attorney Docket No. 08613.0002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

US PAT. & TM. OFFICE

#6 Reg for refund  
w/ small  
entity

Douglas James LITTLE et al.

) Group Art Unit:

Serial No.: 09/991,914

) Examiner:

Filed: November 26, 2001

For: METHOD AND APPARATUS FOR  
DEVELOPING INVESTMENTS

**OFFICE OF FINANCE  
REFUND SECTION**

Assistant Commissioner for Patents  
Washington, DC 20231  
Sir:

Sir:

**REQUEST FOR REFUND UNDER 37 C.F.R. § 1.28**

Applicants paid the filing fee of \$2820.00 timely on November 26, 2001.

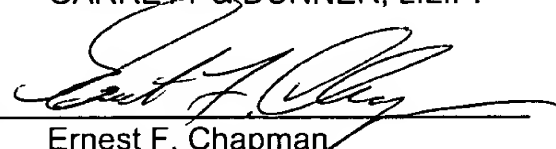
Applicants are now claiming small entity status and request a refund of 1/2 of the filing fee paid on November 26, 2001.

Applicants request a refund pursuant to 37 C.F.R. § 1.26, this request being made within the three-month period provided in 37 C.F.R. § 1.28.

Please issue the refund to Deposit Account No. 06-0916 of the undersigned firm of attorneys and indicate our case reference 08613.0002.

Respectfully submitted,  
FINNEGAN, HENDERSON, FARABOW,  
GARRETT & DUNNER, L.L.P.

Dated: 2/7/02

By:   
Ernest F. Chapman  
Reg. No. 25,961

EFC/FPD/peg



## UNITED STATES PATENT AND TRADEMARK OFFICE

 COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
 www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/991,914	11/26/2001	Douglas Little	08613.0002

CONFIRMATION NO. 7544

## FORMALITIES LETTER



\*OC000000007172830\*

 Finnegan, Henderson, Farabow,  
 Garrett & Dunner, L.L.P.  
 1300 I Street, N.W.

 Washington, DC 20005-3315  
 03/13/2002 SDIRETA1 00000003 09991914

05 FC:205

65.00 DP

Date Mailed: 12/07/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

 Adjustment date: 03/13/2002 SDIRETA1  
 02/19/2002 TV0111 00000026 060916 09991914  
 01 FC:105 65.00 CR -65.00 DP

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

 02/19/2002 TV0111 00000026 060916 09991914  
 01 FC:105 65.00 CH 65.00 DP

 Repln. Ref: 03/13/2002 SDIRETA1 0010070300  
 DA#:060916 Name/Number: 09991914  
 FC: 704 \$65.00 CR
A copy of this notice MUST be returned with the reply.

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

 Adjustment date: 02/19/2002 TV0111  
 02/11/2002 MBERHE 00000003 09991914  
 01 FC:205 65.00 DP

 02/11/2002 MBERHE 00000003 09991914  
 01 FC:205

65.00 DP



HH

#3

Sedor #1

PATENT

Customer Number 22,852

Attorney Docket No. 08613.0002

## THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Douglas James LITTLE et al.

Serial No.: 09/991,914

Filed: November 26, 2001

For: METHOD AND APPARATUS FOR  
DEVELOPING INVESTMENTS)  
)  
) Group Art Unit:  
)  
) Examiner:  
)  
)  
)  
)  
)Assistant Commissioner for Patents  
Washington, DC 20231Attention: **BOX MISSING PART**

Sir:

**RESPONSE TO NOTICE TO FILE MISSING PARTS**


In response to the Notice To File Missing Parts dated December 7, 2001,  
enclosed is the Declaration and a copy of the Notice To File Missing Parts.

Also enclosed is a check in the amount of \$65.00 to cover the surcharge of  
\$65.00. Authorization is hereby given to charge any additional fees to our deposit  
account no. 06-0916.

Please associate this Declaration with the application as filed on November  
26, 2001, and assigned serial number 09/991,914.

Respectfully submitted,  
FINNEGAN, HENDERSON, FARABOW,  
GARRETT & DUNNER, L.L.P.

Dated: 2/7/02

By:   
Ernest F. Chapman  
Reg. No. 25,961

Enclosures  
EFC/FPD/peg

FINNEGAN  
HENDERSON  
FARABOW  
GARRETT &  
DUNNER LLP

1300 I Street, NW  
Washington, DC 20005  
202.408.4000  
Fax 202.408.4400  
www.finnegan.com